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# PROGRAM PLANNING AND RESOURCES MANAGEMENT SYSTEM. PRODECURAL MANUAL

Environmental Protection Agency
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# PROGRAM PLANNING AND RESOURCES MANAGEMENT SYSTEM

## VOLUME ONE
## PROCEDURAL MANUAL

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# PROGRAM PLANNING

# AND

# RESOURCES MANAGEMENT SYSTEM

## Procedural Manual

Office of Resources Management
Environmental Protection Agency

April 10, 1972

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## 1.0 INTRODUCTION

The Environmental Protection Agency's Program Planning and Resources Management System is an integral part of overall Executive Branch planning, programming, and budgeting. It is designed not only to meet the mandatory needs of the President by organizing Agency program and budgeting information in a manner easily meshed with National programs, goals, and objectives, but also the needs of Congress, OMB, and other Federal agencies to review programs from a wide variety of perspectives and interests. Within the latitude allowed EPA to structure its own programs, establish its priorities, and employ various tools to accomplish these objectives, the Program Planning and Resources Management System is designed to serve the internal decisionmaking and information needs of the Administrator and other Agency key officials.

The purpose of this Manual is to describe fully this System, both in concept and in procedure. The first section of the Manual describes the System's basic concept in terms of its scope, objectives, and basic logic. This section is followed by a definition of the functional roles assigned various organizational elements and responsibilities of key officials. The remainder of the Manual is a procedural guide to the details of the program planning, and resources management processes, arranged in chronological order, starting first with the issuance of guidelines, development of program plans, review and approval of program plans, issuance of allowances, an explanation of how to initiate changes, and finally a description of the feedback and evaluation (status reporting) process. The Appendices issued separately in Volume Two contain detailed reference information.

## 2.0 NATIONAL PROGRAMS

The major EPA program goals involve the prevention, abatement and control of:

Air Pollution
Water Pollution
Solid Wastes
Pesticides
Radiation
Noise
Toxic Substances

Also, certain interdisciplinary and support programs which contribute to one or more of these major goals may be separately identified.

## 3.0 PROGRAM AND ORGANIZATIONAL MATRIX

### 3.1 The EPA Organization

To carry out these goals EPA is organized into the following major components:

- Two groupings of program offices: Air and Water and Categorical Programs;
- Three functional offices: Research and Monitoring, Enforcement and General Counsel, and Planning and Management;
- Ten Regional Offices;
- Three NERC's and the laboratory system; and
- Five staff offices.

### 3.2 Program/Organizational Matrix

The planning and accomplishment of major environmental goals requires that the EPA function as a coordinated and interdependent team. A matrix of EPA's program and organization is illustrated in Figure 1.

### 3.3 Roles and Responsibilities

#### 3.3.1 Policy and Operating Roles

This interdependent participation of the EPA organization in program planning and execution involves two complementary but different activities. These activities are those of National Program Managers and Responsible Planning and Implementation Offices. Specific roles and responsibilities for these two organizational assignments are outlined in Figures 2 and 3. Generally, the National Program Manager is involved in policy determinations and performs in a staff advisory role. The Responsible Planning and Implementation Office is involved in specific program design and implementation in a line or operating capacity.

ORGANIZATIONAL AXIS ⟶

PROGRAM AXIS ↓

| | Air & Water Programs | Categorical Programs | Research & Monitoring | Enforcement and General Counsel | Planning and Management | Administration and Staff Offices | Regions/NERC's/ Oper. Centers |
|---|---|---|---|---|---|---|---|
| AIR | X | | X | X | | | X |
| WATER QUALITY | X | | X | X | | | X |
| WATER SUPPLY | X | | X | X | | | X |
| SOLID WASTE | | X | X | X | | | X |
| PESTICIDES | | X | X | X | | | X |
| RADIATION | | X | X | X | | | X |
| NOISE | | | X | X | X | | |
| INTER-DISCIPLINARY | X | X | X | X | X | X (OFA) | X |
| PROGRAM SUPPORT | X | X | X | X | X | X | X |

Figure 1. Relationship of Organizational Structure to National Program Structure

| Organizational Level of Responsibility | Roles and Responsibilities | Program Level of Responsibilities |
|---|---|---|
| Deputy Administrator and Assistant Administrators<br><br>(Authority over single elements or groups of elements may be delegated to other officials within a NPM's Office. These other officials are termed Program Element Coordinators) | As National Program Managers (NPM's), assisting the Administrator in<br><br>. Designing and establishing policies and strategies for assigned program elements.<br><br>. Developing guidelines to accompany the annual call to RPIO's for program plans.<br><br>. Reviewing and approving program plans submitted by RPIO's.<br><br>. Monitoring and evaluating the performance, progress, and fiscal status of RPIO's in the implementation of their portions of the Approved Program Plan.<br><br>. Presenting and justifying their area of the Agency's budget request before OMB and the Congress.<br><br>. Providing direction to the Program Planning and Resources Management System.<br><br>. Providing program guidance for elements outside their jurisdiction. | Element |

Figure 2. Roles and Responsibilities of National Program Managers

| Organizational Level of Responsibility | Roles and Responsibilities | Program Level of Responsibilities |
|---|---|---|
| Regional Administrators, Deputy Assistant Administrators, NERC Directors of certain other major units<br><br>(An Assistant Administrator may serve as an RPIO) | As Responsible Planning and Implementation Officers (RPIO's):<br><br>. Annually prepare a proposed plan in accordance with the Administrator's guidelines.<br><br>. Are responsible for the implementation of assigned sub-elements in the Approved Operating Plan.<br><br>. Serve as allowance holders; are responsible for the management of resources allocated to them.<br><br>. Provide periodic reports on the status of performance and progress in the implementation of assigned sub-elements.<br><br>. Submit to headquarters changes to assigned sub-elements.<br><br>. Provide technical reviews to headquarters on assigned program area.<br><br>. Monitor the performance and progress of Project Managers in the exercise of those duties delegated to them. | Sub-Element |
| Directors of Major Divisions and Other Officials within RPIO's | As Project Managers:<br><br>. Assist RPIO's in fulfilling all or part of their responsibilities as delegated with respect to assigned projects. | Project |

Figure 3. Roles and Responsibilities of Responsible Implementation Offices

### 3.3.2 The EPA Administrator

The Administrator is responsible for the overall program planning and execution process. Specifically, the Administrator issues his Guidelines which condition preparation of program plans. Proposed Program Plans are reviewed and an operating plan (Approved Program Plan) is approved by the Administrator. Major changes to the Approved Program Plan are also approved by the Administrator.

### 3.3.3 National Program Managers

The Administrator looks to each of the five Assistant Administrators and the Deputy Administrator as his principal advisers in all matters pertaining to their respective functional or media areas, including program policy development, functional management accountability and monitoring of all assigned Program Elements. Each Assistant Administrator and the Deputy Administrator serve as the National Program Manager for his assigned set of Program Elements. The Program Elements assigned to each Assistant Administrator are listed in Appendix A. No Program Element is assigned to more than one National Program Manager.

### 3.3.4 Program Element Coordinators

To the extent that the National Program Manager is unable to keep abreast of all Program Elements for which he is responsible on a day-to-day monitoring basis, he may delegate responsibility to subordinate officials within his office who are called Program Element Coordinators. However, it should be clearly understood that ultimate accountability for management of the entire set of Program Elements reposes with the National Program Manager.

### 3.3.5 Responsible Planning and Implementation Office (RPIO)

The Regional Administrators, Deputy Assistant Administrators, Directors of the National Environmental Research Centers, Directors of certain major organizational units and, in some cases, the Assistant Administrators serve as Responsible Planning and Implementation Officers (RPIO's) over those Sub-Elements assigned to them. They are further responsible as Allowance Holders and in this capacity are accountable to the Administrator for the management of both the financial and manpower resources allocated to them. Specifically, these officials exercise those responsibilities listed in Figure 3. The roles and responsibilities of these officials are distinctly different

from those of the National Program Managers; they exercise an operational role as against the overall policy and staff role of the National Program Managers. Moreover, RPIO's are vested with the authority and are allocated the resources to perform program activities. Accordingly, they are primarily accountable for the execution of the Approved Program Plan, the performance and progress made in executing the plan and for the proper management of the resources allocated to carry out the plan.

### 3.3.6 Project Managers

The Directors of major divisions within RPIO's serve as Project Managers over those Projects assigned to them by their RPIO. In this capacity, these officials exercise all or part of the RPIO's Sub-Element responsibilities (see Figure 3). Accordingly, Project Managers are responsible and accountable to their RPIO for those responsibilities delegated to them.

### 3.3.7 Assistant Administrator for Planning and Management

In addition to serving as the National Program Manager for those Program Elements assigned to him, the Assistant Administrator for Planning and Management is responsible for managing and coordinating the operation of the Program Planning and Resources Management System. In this capacity, he performs the following responsibilities, most of which are delegated to the Office of Resources Management for actual performance:

- Coordination of the development of the Administrator's Guidelines;
- Development and revision of this Procedural Manual;
- Receipt of the Proposed Program Plans and distribution of these plans to the National Program Managers for review;
- Review of the Proposed Program Plans submitted by RPIO's
- Collection and summarization of review comments and recommendations from the National Program Managers and presentation of same to the Administrator;
- Coordination of the Administrator's review and approval of the Proposed Program Plans;
- Issuance of the Approved Program Plan;

- Issuance of allowances and position ceilings to RPIO's

- Receipt of requests to change the Approved Program Plan and coordination of the review and approval of such requests;

- Operation of the Financial Management system;

- Coordination of the review and evaluation of RPIO's performance and progress in implementing the Approved Program Plan, which includes management of the Monthly Status Reporting System;

- Preparation of the Agency's budget request and coordination of the presentation of this request to the Office of Management and Budget and the Congress; and

- Operation of the Resources Management Information System, the Financial Management Accounting System, the Personnel Management Information Systems, and other management information systems covering areas such as grants, contracts, facilities; that is, systems which facilitate overall management of the Program Planning and Resources Management System.

### 3.3.8 Program Planning Review Group

This group is chaired by the Deputy Administrator and consists of the Assistant Administrators (National Program Managers) and the Regional Administrators. It convenes to assist the Administrator in establishing specific Agency objectives, in preparing the Administrator's Guidelines, and in reviewing and approved the Proposed Program Plans submitted by RPIO's.

## 4.0 SYSTEM DESCRIPTION

### 4.1 System Requirements

To be effective, the System must:

- Provide a program structure which will satisfy the need for specific planning building blocks which are unique to program, budget, and organization;

- Provide for an automated Information System (called the Program Planning and Resources Management

Information System) designed to computerize as much of the resource management process as feasible in order to simplify, speed-up and make more flexible the extensive data handling retrieval and presentation needs of the system users; and

- Provide for an accounting system which permits assessment of managerial performance throughout the Agency at various levels, i.e., at the project level by type of transaction or at the program summary level across office lines.

## 4.2 System Phases

The System is centered around the annual development and continuous updating of a 6 year Approved Program Plan, and the attendant fiscal and performance management of this plan. Briefly, the process embodies three major phases: program planning, budget formulation, and program and budget execution. Each phase is discussed in turn.

### 4.2.1 Program Planning Phase

The basic logic of this phase is outlined in Figure 4. Major activities are as follows:

- Development and issuance of the Administrator's Guidelines for the development of Proposed Program Plans;

- Development of Proposed Program Plans by RPIO's;

- Review of these plans by the Administrator and National Program Managers;

- Administrator's approval, or disapproval, of Proposed Program Plans and their consolidation into the Approved Program Plan;

- Issuance of the Approved Program Plan to RPIO's; and

- Issuance to RPIO's of allowances and position ceilings based on the Approved Program Plan to provide the resources necessary to implement the plan.

### 4.2.2 Budget Formulation Phase

The development of the Agency's forthcoming budget request based on the Approved Program Plan, and the

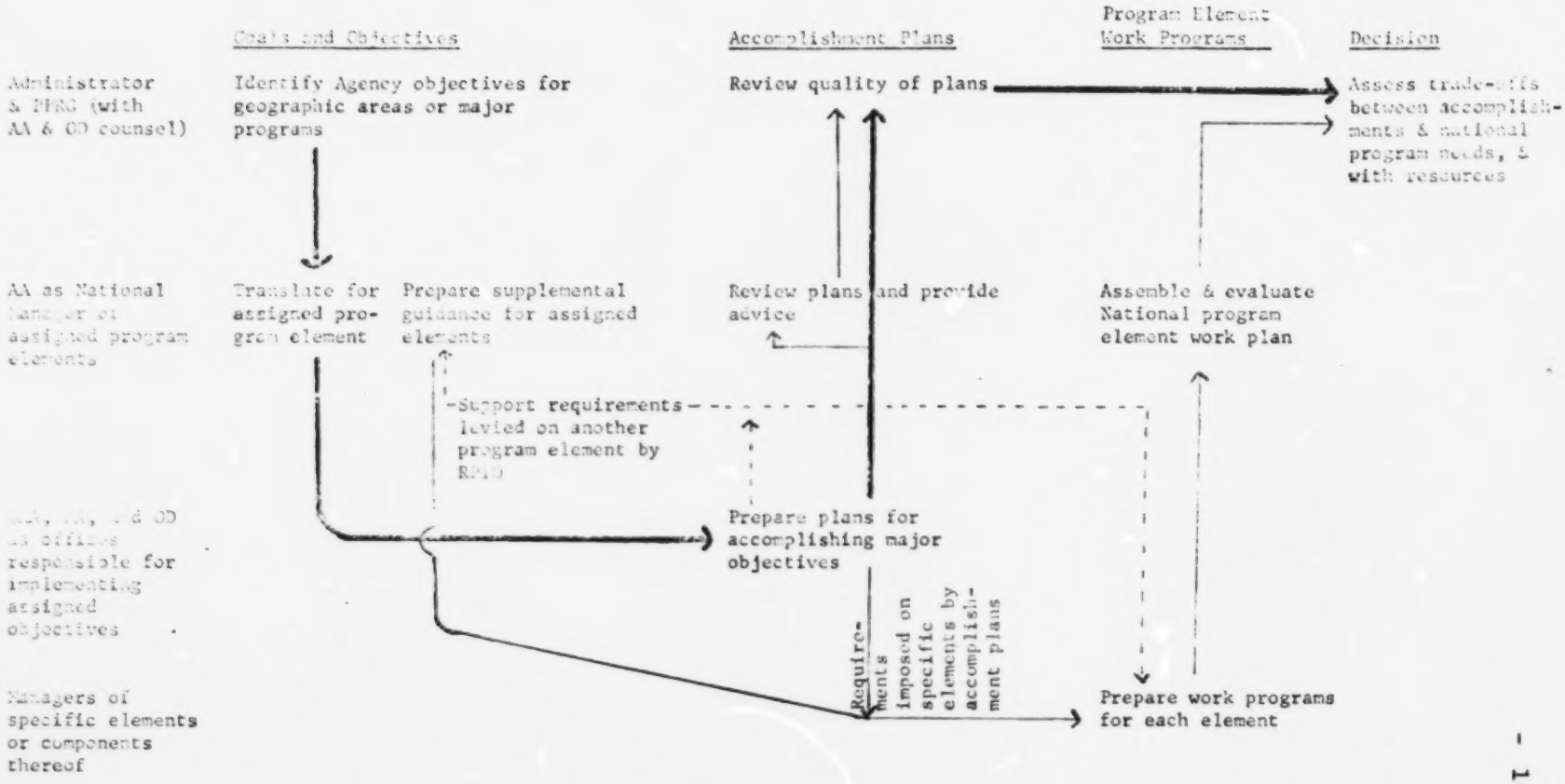
Goals and Objectives
Accomplishment Plans
Program Element Work Programs
Decision
Administrator & PRG (with AA & OD counsel)
Identify Agency objectives for geographic areas or major programs
Review quality of plans
Assess trade-offs between accomplishments & national program needs, & with resources
AA as National Manager of assigned program elements
Translate for assigned program element
Prepare supplemental guidance for assigned elements
Review plans and provide advice
Assemble & evaluate National program element work plan
Support requirements levied on another program element by RPAD
Prepare plans for accomplishing major objectives
Requirements imposed on specific elements by accomplishment plans
Managers of specific elements or components thereof
Prepare work programs for each element

Figure 4. Logic Diagram of the Resources Management System

Legend:
= Accomplishment Plan Flow
= Program Element Flow

presentation of the request to the Office of Management and Budget and to the Congress is accomplished in this phase.

4.2.3 Program and Budget Execution Phase

This phase provides for:

- Periodic reporting of progress against the Approved Program Plan by RPIO's and the monitoring and evaluation of these reports by National Program Managers and the Office of Resources Management;

- Periodic reporting of program performance and accomplishment by National Program Managers to the Administrator in Monthly Status Reporting sessions;

- Periodic monitoring of financial status by the Office of Resources Management and the reporting thereof to RPIO's, National Program Managers and the Administrator; and

- Receipt, evaluation, and approval of changes to the Approved Program Plan.

4.3 System Structure

The Program Structure provides the framework for the development and operation of the Program Planning and Resources Management System. This structure is shown graphically on Figure 5 and is designed to permit a pyramiding of building blocks to satisfy a variety of data needs. The Program Element is designed as the basic building block of the structure. Each Program Element covers a separate program activity, and is assigned to a National Program Manager. The list of National Program Managers is given in Table 1 of Appendix A. Tables 1-A through 1-F of the same appendix list the Program Elements assigned to National Program Managers.

There are some 200 Program Elements which in aggregate cover all of the Agency's program and management activities. Program Elements are created based on their utility as decision units in the review and approval of EPA's activities. It is intended that the Program Elements will have a high degree of stability; however, they are not immune to change. From time to time, Program Elements may be added or subtracted from the list or redefined to address the changing scope and nature of the Agency's programs, particularly as

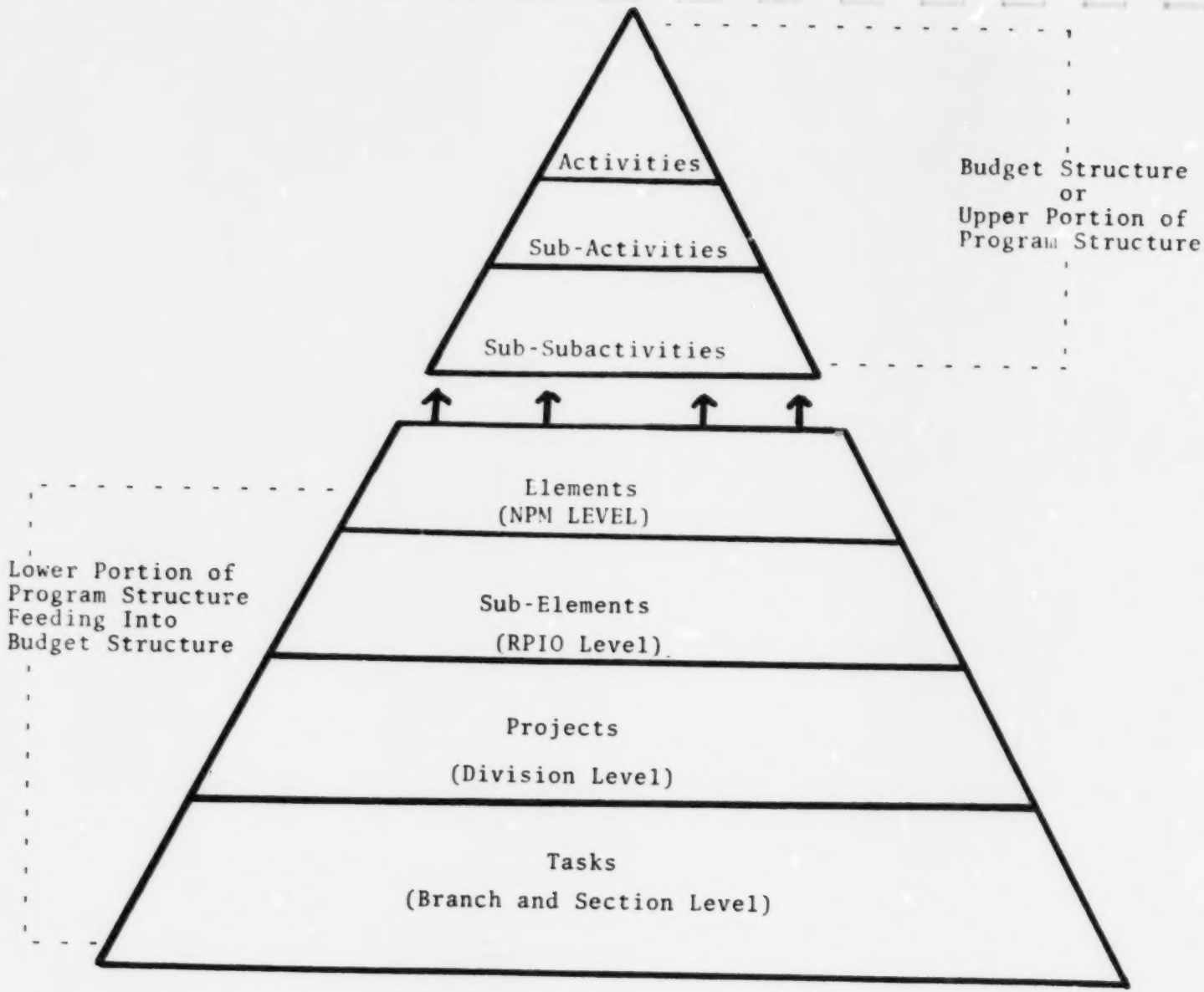


Figure 5. EPA Program Structure

new legislation is enacted. Changes in Program Elements will be managed and controlled by the Office of Planning and Management, with the advice of the National Program Managers.

Program Elements are partitioned into Sub-Elements to provide for the subdivision of work among the various control offices and laboratories and Regional Offices. The responsibility of managing Sub-Element activities is assigned to the RPIO. The development of Proposed Program Plans, the performance of work under the Approved Program Plan, the allocation of allowances and position ceilings and the fiscal and performance management of program activities is carried out at the Sub-Element level. A list of RPIO's and their assigned Sub-Elements is given in Appendix C.

As with Program Elements, the list of Sub-Elements is intended to have a high degree of stability. Nevertheless, Sub-Elements can be added, subtracted, or redefined as necessary; for example, to reflect changes in the parent Program Elements or to reflect organizational changes. Since Sub-Elements are organizationally defined, organizational changes in most cases automatically necessitate Sub-Element modifications. The Office of Planning and Management, with the advice of the National Program Managers, will manage and control the list and assignment of Sub-Elements.

Sub-Elements are, in turn, subdivided into Projects to accomplish work assigned to the appropriate organizational elements (e.g., divisions) within the RPIO's which must perform the work. As with the partitioning of Program Elements into Sub-Elements, this subdivision is organizational. That is, each Project is unique to a division within the RPIO and cannot cross division lines. Two or more Projects for the same Sub-Element may be assigned to a division if the RPIO finds it necessary. Appendix D is a list of the divisions within RPIO's to which Projects can be assigned. A unique Project Number is assigned to each Project.

Each Project is also assigned a unique Account Number which is used in the preparation and processing of all obligation documents. These preassigned Account Numbers, together with their respective Project Numbers and Project Titles, are listed in a separate document; Account Number Code Book, prepared and distributed by the Financial Management Division. A summary description of Program Elements, Sub-Elements, and Projects is provided in Figure 6.

PROGRAM ELEMENT

1. An integral component of EPA's total program.
2. Approximately 200-250 in number.
3. Each has a unique number and each wholly crosswalks into a single Budget Activity.
4. Each is assigned to a single Assistant Administrator for policy guidance, review of program plan proposals, and monitoring of performance.
5. Is sufficiently narrow in scope that no further subdivisions of scope is required because of complexity.
6. Is delegated to a Program Element Coordinator who performs the Assistant Administrator's responsibilities described above.

PROGRAM SUB-ELEMENT

1. An integral component of a Program Element.
2. Vary in number for each Program Element, depending on the number of different organizational elements required to implement.
3. Each has a unique number which defines the parent Program Element as well as the Allowance Holder number (RPIO No.) which authorizes financial and manpower resources to be expended against.
4. Each is assigned to a Responsible Planning and Implementation Office (RPIO) for program plan development, implementation, and resource management and control purposes.
5. Is managed by the designated RPIO head, which is normally at Deputy Assistant Administrator or Regional Administrator or Major Field Facility Head level.

PROJECT

1. An integral component of a Program Sub-Element.
2. Vary in number for each sub-element, depending on the number of different organizational elements required to implement.
3. Each has a unique number which defines the parent Program Sub-Element and the assigned organization number.
4. Each is assigned to a Project Manager for project plan development, implementation, and resource management and control purposes.
5. Is managed by the Project Manager, which is normally at Division Director level with the regions, or Section level or higher within the Headquarters.

Figure 6. Profiles of Program Elements, Sub-Elements and Projects

The top half of the Program Structure (see Figure 5) provides for the aggregation of Program Elements into overall EPA budget categories, which assist in organizing and presenting the Agency's budget to OMB and the Congress. The bottom half of the Program Structure is composed of functionally-circumscribed Program Elements which are subdivided into organizationally-circumscribed Sub-Elements and then Projects. Each of these levels serves a unique function in the operation of the Program Planning and Resources Management System. Each falls under the purview of a different level of management:

Program Elements - National Program Managers

Sub-Elements - Responsible Planning and Implementation Offices

Projects - Division Directors acting as Project Managers

Table 2-A of Appendix B identifies EPA's Budget Structure and Table 2-B of Appendix B delineates the assignment of Program Elements within this structure.

## 5.0 THE DEVELOPMENT OF PROPOSED PROGRAM PLANS

### 5.1 Administrator's Guidelines

To provide the RPIO's with guidance for the development of Proposed Program Plans, the Administrator will issue Guidelines with the call for the development of such plans. These Guidelines will:

- Identify program priorities;
- Identify Agency objectives;
- Identify the Accomplishment Plans which are to be prepared;
- Delineate guidelines for Program Elements;
- Provide tentative planning allowances for the upcoming operating year (based on the President's Budget for that year) and for the following Budget Year.

The Office of Resources Management will coordinate the development of the Administrator's Guidelines. This will be accomplished with input and advice from the Program Planning Review Group, the RPIO's and other key Agency officials.

## 5.2 Preparation of Program Plans

Following receipt of the Administrator's Guidelines, each RPIO will prepare and submit a Proposed Program Plan on the time schedule stipulated in the Guidelines. Each Proposed Program Plan will consist of a Sub-Element Plan and pursuant to assignments delineated in the Administrator's Guidelines, one or more Accomplishment Plans.

### 5.2.1 Sub-Element Plans

Each RPIO should submit a Sub-Element Plan covering all Sub-Elements assigned to him (Appendix C). The documentation required for each Sub-Element will consist of a Planned Accomplishment Schedule and a Resources Schedule. Instructions for completion of these are outlined below:

#### 5.2.1.1 Planned Accomplishment Schedule

The format to be used in presenting planned accomplishments is shown on Figure 7. Since no additional narrative is required for Sub-Element justifications, the planned accomplishments or output descriptions should be of such specificity so as to adequately convey the overall goals to be reached, the strategy or approach to be followed and the work to be performed. Also, the specific accomplishments associated with priority geographic target areas must be separately identified since a subsequent grouping of accomplishments by priority geographic areas will be required. The form should be completed as follows:

1. Type of Plan. Place an "X" in box (a).
2. Sub-Element Title. Enter the appropriate title delineated in Appendix C.
3. Sub-Element Number. Enter the Sub-Element number for the respective title delineated in Appendix C.
4. Sheet Number. Enter the page number of the set of Accomplishment Schedules for each Sub-Element, e.g., 1-5 for page 1 of 5 pages.
5. Geographical Area Title. Leave Blank.
6. Geographical Area Code. Leave Blank.
7. Priority. Leave Blank.
8. Code. Leave Blank.

9. Number. Enter the number of the Planned Accomplishment. Serially number accomplishments starting with number 1 for each Sub-Element.

10. Scheduled Date of Completion. The date by which the accomplished is expected to be completed.

11. Planned Accomplishments. Brief, quantified statements of major, planned achievements. The statements should identify what will be "bought" with the resources being requested.

12. FY 1973. Leave Blank.

13. FY 1974. Leave Blank.

14. Prepared by and Date. The initials and last name of the person who prepared the form and the date prepared.

15. Reviewed by and Date. The initials and last name of the person reviewing the plan and the date.

16. Approved for RPIO. Signature of the RPIO or person designated by him to approve plans for him.

5.2.1.2 Resources Schedule

The format to be used in presenting resource requirements is shown on Figure 8. The form should be completed as follows:

1. Sub-Element Title. Enter the appropriate title as listed in Appendix C.

2. Sub-Element Number. Enter the Sub-Element number as listed in Appendix C.

3. Project. Leave Blank. (This form may be used at lower levels in the program structure by entering a Project Number in this box and a task number in box 5.)

4. Task. Leave Blank.

5, 6, 7, 8. Leave Blank

9. Appropriation Authorization Code. The code for the section of law which authorizes appropriations for the work involved in this Resources Schedule. Appropriation Authorization codes are in Appendix E. If work on an Element is to be supported with appropriations authorized by two or more sections of law, a

## PLANNED ACCOMPLISHMENTS SCHEDULE

| 1. Type of Plan<br>a. ☐ Sub-Element<br>b. ☐ Part. Sub-Elem.<br>c. ☐ Geo. Area | 2. Program Sub-Element Title | 3. Sub-Element No. | 4. Sheet No. |
|---|---|---|---|
| | 5. Geographical Area Title | 6. Geo. Area Code | 7. Priority |

| 8. Code | 9. No. | 10. Sched Date of Comp. | 11. PLANNED ACCOMPLISHMENTS |
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| 12. FY 1973 | | 13. FY 1974 | | 14. Prepared by & Date | 15. Reviewed by & Date | 16. Approved for PPIO |
|---|---|---|---|---|---|---|
| a. $1000 | b. Man Years | a. $1000 | b. Man Years | | | |

Figure 7. Planned Accomplishments

RESOURCES SCHEDULE

| 1. SUB-ELEMENT TITLE | | | | 2. SUB-ELEMENT NO. | 3. PROJ. | 4. TASK |
|---|---|---|---|---|---|---|
| 5. | 6. | 7. | 8. | 9. APPROP. AUTH. | 10. NO. OF SHEETS | |

PLANNED NEW BUDGET AUTHORITY (TO Nearest $1000)

| | | FY 1972 | FY 1973 Quarters | | | | TOTAL FY1973 | FY 1974 | FY 1975 | FY 1976 | FY 1977 | FY 1978 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | 1 | 2 | 3 | 4 | | | | | | |
| 11. TOTAL | | | | | | | | | | | | |
| 12. Contracts (Within Obj. Class 25) | | | | | | | | | | | | |
| 13. Grants (Obj. Class 41) | | | | | | | | | | | | |
| 14. Equipment (Obj. Class 31) | | | | | | | | | | | | |
| 15. In-house Total | | | | | | | | | | | | |
| 16. Manyears | a. Permanent | | | | | | | | | | | |
| | b. Other | | | | | | | | | | | |
| 17. Prepared by (Name & date) | | 18. | | | | | | 19. | | | | |



Figure 8. Resources Schedule

separate Resources Schedule must be prepared for each section.

10. Number of Sheets. Enter numbers of Resources Schedule submitted for each Sub-Element.

11, 12, 13, 14, and 15. Show the funds required to perform the work planned for the Sub-Element. These funds should be rounded to the nearest $1,000. The fund requirements should be for new budget authority only. The allocation of funds derived from the unobligated carry-over from the previous year will be determined in a separate planning process during August of each year and will be issued in separate allowances. The breakdown of funding requirements into contracts, grants, equipment, and in-house (all other) costs is meant to facilitate the review of resource requirements and the subsequent monitoring of fiscal status.

16. Show the numbers of positions required to perform the work planned for the Sub-Element. These should be reported to the nearest whole man-years and should be broken down, as indicated, into man-years derived from Permanent positions (either full or part-time) and man-years derived from Other-than-Permanent positions (temporary, intermittant, excepted, and consultants). In this case, the term man-years is not used in the classical sense, but is used to quantify the number of whole positions that must be included in the RPIO's total position ceiling in order to assume performance of the work planned for the respective Sub-Element. This convention is used to dispel the frequently held notion that specific positions (or specific personnel) are assigned to Sub-Elements. Only "position equivalents" are allocated to Sub-Elements and a position equivalent may be satisfied by either the assignment of a whole position to the work conducted under the Sub-Element or the assignment of parts of two or more positions to such work. This is to provide the RPIO with unconstrained flexibility in managing his manpower resources.

17. Prepared by. Initials and last name of person completing the form and the date.

18 and 19. Leave Blank.

5.2.2 Accomplishment Plans

In addition to Sub-Element Plans, Accomplishment Plans will be prepared and submitted pursuant to assignments delineated in the Administrator's Guidelines, An example of such plans are the Accomplishment

Plans required for each river basin or other priority area. A separate Accomplishment Plan submission is desired because specific outputs must be grouped on a different basis than the Program Element structure. However, care should be taken to ensure that the outputs which are grouped along priority area lines do in fact represent those same outputs identified in the Program Element submission.

5.2.2.1 Planned Accomplishments

The same form (Figure 7) will be used to identify planned outputs in the Accomplishment Plan as are used in the Sub-Element Plans. In fact, identical outputs should be found in the Sub-Element Plans. The requirement here is to group these outputs in terms of specific priority objectives, i.e., a priority river basin. The previous instructions for completion of this form apply, except that the Accomplishment Plan title should be listed rather than Sub-Element. Also, items 12 and 13 should indicate an estimate of manpower and dollars associated with the plan.

5.2.2.2 Accomplishment Plan Narrative

A brief concise narrative will be required for each Accomplishment Plan. A suggested outline for this narrative is provided in Figure 9.

5.2.2.3 Priority Basin Pollutant Data Sheet

A quantification of the pollutant problem will be prepared for each priority basin in the form outlined in Figure 10.

## 6.0 REVIEW AND APPROVAL OF PROPOSED PROGRAM PLANS

### 6.1 Review Process

Following receipt of Proposed Program Plans from the RPIO's, the Program Review and Reporting Division (AMRR) will:

- Check these plans for completeness, arithmetic corrections, and consistency with the procedures for form and format;
- Enter the resources data and other information in these plans into the Resources Management Information System;
- Summarize and consolidate these plans into a Proposed Agency Program Plan and produce multiple copies;
- Distribute these Proposed Agency Program Plans to the Assistant Administrators, the Office of Federal Activities, and certain

I. PRIORITY AREA IDENTIFICATION

Instruction: Provide an adequate headline descriptor of the specific Agency program covered by the Accomplishment Plan. The memorandum of the Administrator delineates the program areas to be addressed with Accomplishment Plans. Priority water basins should be described by name and boundary limits; i.e. number of river and/or shoreline miles covered. The Accomplishment Plan for air pollution abatement should designate the specific Priority I and Ia AQCR's covered by the plan.

II. PROBLEM ASSESSMENT

Instruction: Characterize the nature, status and planning issues relevant to the priority area. For priority water basins, for example, the problem might be reviewed in terms of the size of population in the delimited area, the current condition of the river vs. ambient criteria, adequacy of standards and implementation schedules, abatement status of major contributing sources, waste treatment needs, status of active or pending enforcement actions, special considerations involving Federal/State relationships and other unique causes. Significant planning issues requiring top management attention can also be addressed here.

III. AGENCY AND/OR OPERATIONAL OBJECTIVES

Instruction: The Administrator's Guidelines delineate the Agency objectives for the Accomplishment Plans. For priority water basins, objectives might be expressed in one or more of the following ways:

- Date at which water quality criteria are to be achieved (not later than 1976);
- The specific pollution reductions to be obtained in the 1973 operating year and 1974 budget year;
- Other significant short term achievements with respect to major dischargers, critical problems; and
- Early visible success associated with attainment of water quality criteria.

IV. APPROACH

Instruction: Explain "how" the objectives are to be attained through a coordinated program element strategy. This explanation should make clear the relative emphasis given to the program elements employed in the plan. Aspects of coordination with other Agencies should also be highlighted.

Figure 9. Accomplishment Plans Narrative

PRIORITY BASIN WORK SHEET

Date_____

STORET Minor Basin ID No._____

Name of Basin_____ Region_____

State(s)_____

1. Area covered:

---

2. Water quality objectives:

| | (a) Current criteria | (b) EPA Objective: Minimum Acceptable Ambient Level | (c) Actual Level at Worst Time of Yr. | Accuracy (% ±) |
|---|---|---|---|---|
| Measure #1 | mg/l | mg/l | mg/l | ± % |
| Measure #2 | | | | |
| etc. | | | | |

---

3. Estimated pollution load--all sources (average FY 72):

| | Load | Accuracy (% ±) |
|---|---|---|
| Pollutant #1 | pounds/day | ± % |
| Pollutant #2 | | |
| etc. | | |

---

4. Estimated pollution load reduction required to meet EPA water quality objective derived from 2(c) - 2(b):

| | Required Reduction | Accuracy (% ±) |
|---|---|---|
| Pollutant #1 | pounds/day | ± % |
| Pollutant #2 | | |
| etc. | | |

---

5. Reduction firmly committed by FY 72 and prior year actions:

| | Year of Actual Reduction | | | |
|---|---|---|---|---|
| | FY 73 | FY 74 | FY 75 | FY 76 |
| Pollutant #1 | lbs/day | lbs/day | lbs/day | lbs/day |
| Pollutant #2 | | | | |
| etc. | | | | |

---

6. Additional reductions to be obtained by FY 73 and FY 74 commitments:

| | Year of Actual Reduction | | | |
|---|---|---|---|---|
| | FY 73 | FY 74 | FY 75 | FY 76 |
| Pollutant #1 | lbs/day | lbs/day | lbs/day | lbs/day |
| Pollutant #2 | | | | |
| etc. | | | | |

Figure 10. Priority Basin Work Sheet

7. Increases in pollution discharges expected:

| | Year of Actual Increase | | | |
|---|---|---|---|---|
| | FY 73 | FY 74 | FY 75 | FY 76 |
| Pollutant #1 | lbs/day | lbs/day | lbs/day | lbs/day |
| Pollutant #2 | | | | |
| etc. | | | | |

8. Total reductions to be obtained--sum of 5 and 6 above:

| | Year of Actual Reduction | | | |
|---|---|---|---|---|
| | FY 73 | FY 74 | FY 75 | FY 76 |
| Pollutant #1 | lbs/day | lbs/day | lbs/day | lbs/day |
| Pollutant #2 | | | | |
| etc. | | | | |

9. Total reductions required--sum of 4 and 7 above:

| | Year of Actual Reduction | | | |
|---|---|---|---|---|
| | FY 73 | FY 74 | FY 75 | FY 76 |
| Pollutant #1 | lbs/day | lbs/day | lbs/day | lbs/day |
| Pollutant #2 | | | | |
| etc. | | | | |

10. Year in which minimum acceptable water quality levels are to be achieved--compare 8 and 9 above:

11. If figures for items 2 through 7 above are not available, please provide estimate of when they will become available through monitoring and other activities:

Are items 3, 5, and 6 above derived from detailed discharger inventories? (Estimates from rough materials balance and flow calculations are acceptable.)

12. Key pollutants, if any, for which a weight or other quantity measure is not appropriate:

Figure 10 - Continued

## INSTRUCTIONS FOR WORK SHEET

The purpose of these figures is to represent in quantified terms the Region's objectives for achieving water pollution abatement in each specified priority basin area. They will be used to:

- Set a target year for achieving EPA water quality objectives in the basin.
- Define the baseline against which FY 73 and FY 74 pollution abatement progress will be measured.
- Provide an overview of the clean-up job that must be done.

1. Area covered: Specify the portion of the basin to be covered. Extreme precision is not necessary, but should allow plotting on a relatively detailed map (include annotated map if possible). Number of river miles (or shoreline miles) is desirable, using river mile indexes if available.

---

2. Water quality objectives: This section should spell out what EPA considers to be minimum acceptable levels of ambient quality for the measures which present important problems in the basin. In most basins the number of measures will be small (e.g., 2-5). Figures should be stated as 24-hour averages in terms of ambient concentrations, temperature readings, etc.

(a) Current criteria: Ambient levels required by established State Water Quality Criteria, if available.

(b) EPA Objective - Minimum Acceptable Ambient Level: The ambient level EPA considers necessary in this basin. A difference with (a) implies that EPA will seek to revise current Water Quality Criteria.

(c) Actual level at Worst Time of Year: Current conditions generally observed during the low-flow period. Since these conditions may have to be estimated, the accuracy column should indicate the range of uncertainty about the figure.

All three figures should apply to a representative portion of the basin, or to the worst-case portion if the basin area is not homogeneous. Indicate STORET station(s) location(s) if appropriate so that observations can be replicated in the future.

---

Figure 10 - Continued

3. Estimated pollution load--all sources (average FY 72): Estimate of total discharges into priority area of key pollutants, expressed in terms of average number of pounds per day, or similar units. (Thermal pollution should be measured in BTU or equivalent rates.) This estimate is the base against which future levels will be compared. It can be computed by inventorying all major sources, by materials balance/flow rate calculations, or other estimating techniques, whichever is most accurate and/or readily available. Please indicate degree of confidence in terms of ± % accuracy.

---

4. Estimated pollution load reduction required to meet EPA water quality objective--derived from 2(c) - 2(b): This section establishes the EPA goals for pollution load reductions beyond those which will have been achieved by end - FY 72. Again, estimates will often have to be used and the accuracy column should express the uncertainty. In most cases this reduction will be dependent on the difference between items 2(c) and 2(b) in the ambient context. The estimate should be made assuming no increase occurs in pollution loads above end - FY 72 levels. If reduction of pollution loads per se is not the action required to achieve ambient objectives, use this section (and sections 5 through 9) to explain the alternative course of action proposed.

---

5. Reduction firmly committed by FY 72 and prior year actions: This section should summarize those reductions (expressed as differences from end-FY 72 levels) for which firm commitments have already been achieved. To be a firm commitment, a planned reduction must either (a) be a municipal plan for which a construction grant has been made, (b) an industrial treatment facility on which construction has begun, (c) an industrial reduction for which a Refuse Act permit has been issued and has been accepted by the company, or (d) a reduction required by a court order. Note: FY 74, 75, and 76 entries in this and following sections should each be expressed as reductions fron end-FY 72 load. That is, they should be cumulative--the entry for FY 74 equals the entry for FY 73 plus reductions occurring for the first time in FY 74.

---

6. Additional reductions to be obtained by FY 73 and FY 74 commitments: This section will show the planned accomplishments of the EPA program for FY 73 and FY 74 in terms of obtaining commitments to reductions. All reductions count, whether or not EPA is directly responsible for them or merely influence some other organization to achieve them, or whether they are made at the initiative of the discharger.

---

7. Increases in pollution discharges espected: This section should contain estimates of the expected increases (above end-FY 72 levels) in discharge of key pollutants. Increases would come from such sources as population growth and new industries.

---

Figure 10 - Continued

8. Total reductions to be obtained--sum of 5 and 6 above: Self-explanatory.

---

9. Total reductions required--sum of 4 and 7 above: Self-explanatory.

10. Year in which minimum acceptable water quality levels are to be achieved: In the normal case, when total reductions obtained (item 8) equals the total reductions required (item 9), the EPA minimum acceptable water quality objective will be achieved, assuming our calculations relating discharges to ambient quality were correct. Explain any important variation from this formula. If the year is later than 1976, please explain factors precluding any early achievement.

---

11. Self-explanatory

---

12. Key pollutants for which a weight or other quantity measure is not appropriate: This section should be completed with a narrative description of the reduction to be obtained, such as color, only if there was a key pollutant which could not be described in the kind of quantitative terms required for sections 4, 5, 6, and 7. Temperature should not be shown in this section. This section would not often be used.

---

Progress Measurement: For purposes of basin, Region, and national progress measurement, the figures provided above can be used as follows: At the end of FY 73, the pollution load will again be estimated, as it was for section 3 this year, based on monitoring, inventories, or crude models. This end-FY 73 load would be compared to the sum of items (3) + (7) - (5) - (6) reported this year. Differences would represent under- or over-achievement of this year's planned objectives. If this progress measurement scheme would be inapplicable in some basins, or for some pollutants, please indicate briefly the conceptual difficulties to be overcome, and suggest an alternative approach if possible.

Figure 10 - Continued

other Headquarters offices for review and recommendations relative to approval or approval with modifications.

- Review and make its own recommendations on these Proposed Agency Program Plans; and

- Collect the reviews and recommendations and summarize these for presentation and discussion in the review process.

### 6.2 Approval Process

Following the review process described above, AMRR will present the resultant plans to the Deputy Administrator, Assistant Administrators, and other key Agency officials sitting as a Program Planning Review Group who will (1) review the recommendations generated in the review process, (2) begin resolution of the issues raised by these recommendations, and (3) develop a set of final recommendations to the Administrator relative to approval of the Proposed Agency Program Plan with or without alternative modifications.

Following these sessions, AMRR will convene one or more sessions with the Administrator to obtain final approval on an Approved Agency Program Plan.

### 6.3 Issuance of the Approved Program Plan

Following the Administrator's approval of an Approved Agency Program Plan, AMRR will:

- Enter the resources data and other information in the plan into the Resources Management Information System;

- Mark-up the proposed program plans submitted by the RPIO's to reflect modifications embodied in the Approved Program Plan and issue these marked-up plans to the RPIO's for implementation of the operating year portion; and

- Convert the Budget Year portions of the plan into a preliminary budget plan for submission to the Office of Management and Budget to obtain a budget mark for the Agency.

## 7.0 ALLOWANCES

### 7.1 Issuance of Allowance

Advices of Allowance provide the official allocation of allotted funds and authorized positions to RPIO's. Without an Advice of Allowance,

an RPIO may not legally obligate funds or fill positions. The Advice of Allowance is the official authority against which an RPIO maintains a commitment register and issue certifications of funds available. Specifically, it identifies:

- The RPIO to whom the allowances and position ceilings (both permanent and other) are issued;
- The appropriation under which the allowance is issued;
- The distribution of the allowances and position ceilings among the Sub-Elements assigned to the RPIO.

Separate Advices of Allowances will be issued for:

- New obligation authority under each appropriation (e.g., Operations, Research and Facilities, Construction Grants, Scientific Activities Overseas);
- Reimbursable accounts;
- Allocation accounts;
- Revolving fund accounts; and
- Carryover funds from each prior year if any such funds are carried over.

The details of allowance issuance procedure are beyond the scope of this Manual. Separate instructions are issued by the Budget Operations Division which spell out requirements in detail, including: initial allowance receipt; change advices; resources rules for commitments and obligations; and rules regarding the filling of positions.

## 7.2 Fund and Ceiling Control

The Advices of Allowance provide the basis for controlling Agency expenditures and employment within the limits authorized by Congress or the Office of Management and Budget. To achieve this control, each RPIO is held responsible for (1) maintaining obligations within his allowance, and (2) maintaining end-of-year employment within his respective position ceilings for permanent and other-than-permanent employees. Furthermore, each RPIO is held accountable for maintaining resource obligations for individual Sub-Elements within the limits specified for Sub-Elements in his Advice of Allowance. The Office of Resources Management will continuously monitor obligations against allowances and, in cooperation with the Personnel Management Division of the Office of Administration will monitor the filling of positions against position ceilings.

## 8.0 CHANGES TO THE APPROVED PROGRAM PLAN

### 8.1 "Change" Defined

A "change" to the Approved Program Plan issued to any RPIO is defined as a change in any of the planned objectives, planned accomplishments, or planned resources within any of the Sub-Elements contained in the plan.

### 8.2 Authority to Change

The Approved Program Plan is not immutable; it undergoes constant scrutiny on a year-round basis for the purpose of assessing continued validity in the light of changing circumstances. However, the plan cannot be changed for other than valid and well-considered reasons. The reasons are obvious:

- The Plan is, in effect, a contract between the Agency and the Congress to spend appropriated funds for the purpose for which they were initially intended and justified, within certain reprogramming latitudes; and

- The Administrator and the Executive Branch make a wide variety of commitments and set into motion a wide panoply of actions based upon their expectation that the Plan will, in fact, be carried out.

For these reasons, it is necessary to restrict the authority to change the Approved Program Plan. Authority to propose changes to the Approved Program Plan is vested in:

- The Administrator or Deputy Administrator;

- Assistant Administrators; and

- Responsible Planning and Implementation Officers.

All others desiring to propose a change to the Approved Plan should transmit their proposed changes through one of these officials.

### 8.3 Procedure for Requesting a Change

All requests for changes to the Approved Program Plan should be submitted to the Office of Resources Management. Each request should be approved and submitted by one of the officials authorized to propose changes (or his delegated official where such delegations have been made).

Requests for changes should be prepared in the following format:

- A transmittal memorandum explaining the reason for and purpose of the change; and

- A marked-up copy of the Resources Schedule(s) from the Accomplishment Schedule(s) from Approved Program Plan reflecting the changes to be made.

### 8.4 Change Request Review and Approval Process

The Office of Resources Management (AMR) will consider: requests, consulting with the National Program Managers (or their Program Element Coordinators) and other Assistant Administrators or other Headquarters officials as appropriate, and will prepare an evaluation and a recommendation relative to approval, disapproval, partial approval, or deferral. These reviews will consider:

- The budget impact of the change request; whether it results in a violation of limitations imposed by the Congress or the Office of Management and Budget; and

- The programmatic impact of the change request; whether and to what extent it results in a deviation from the objectives and/or accomplishments of the Approved Program Plan and/or the Administrator's Guidelines.

Following its review, the request and AMR's evaluation and recommendationswill be sent forward for approval. For certain classes of change requests, approval authority will be delegated to the Assistant Administrator for Planning and Management. For other classes, approval authority will be vested in the Deputy Administrator.

Following approval action, AMR will:

- Inform the RPIO and the National Program Manager of the approval action taken;

- Update the Approved Program Plan and the data in the Resources Management Information System to reflect the change of approved or partially approved; and

- Issue a revised Advice of Allowance to the RPIO, as appropriate.

## 9.0 STATUS REPORTING

### 9.1 Purpose and Objectives

Periodic progress assessment is essential to ensure that problems and bottlenecks to objective accomplishment of goals are identified in

a timely fashion and brought to the attention of top management for resolution. The Agency's status reporting is designed to:

- Permit the periodic evaluation of the status of each Program Element to ensure that actual accomplishment matches expected accomplishment;

- Create an information base to assist officials in making informed decisions and in identifying problems that require corrective actions or situations that deserve commendation; and

- Instill a uniform management discipline of reporting the most significant planned actions of major programs and the actual status of these actions.

The status review process will encompass both Regional and National activities and will culminate in a monthly status briefing. Within this formal process, considerable leeway is provided to allow for individualized presentations of program status.

### 9.2 Monthly Status Report

The Monthly Status Report consists of many independent sections representing the status of separate programs within each of the Assistant Administrator's offices, the Administrator's staff offices, and the Regional offices.

#### 9.2.1 Coverage

##### 9.2.1.1 Regions

Each of the priority objectives identified in the Administrator's Guidelines will be incorporated in the Monthly Status Review. The specific procedures to effect this reporting are currently under development and will be issued in the near future.

##### 9.2.1.2 Headquarters

Each of the priority objectives identified in the Administrator's Guidelines will be incorporated in the Monthly Status Review. The specific procedures to effect this reporting are currently under development and will be issued in the near future.

#### 9.2.2 Format

The common thread running through the many program inputs is the uniform presentation format. Repeated for each of the programs in a three Element package of material including: (1) a summary of planned versus actual accomplishments, (2) a select number of status measures

or trends unique to each Program, and (3) a key issue problem assessment of the program. This report is published a few days after the Monthly Status Briefing allowing for last minute inputs from these briefings.

### 9.3 Monthly Status Briefing

The Monthly Status Briefing is held before the middle of each month as an oral review of the past month's activities on selected Agency programs. At this briefing, Assistant Administrators, and selected Regional Administrators are given an opportunity to present the status of their programs. These presentations are made before the Administrator, Deputy Administrator, Assistant Administrators, Staff Office Directors, Regional Administrators, and Deputy Assistant Administrators. The briefings are meant to present an overview of programs, highlighting activities that have an impact throughout the Agency or are influenced by other offices. Special significance should be given to problems, accomplishments, and trends which should be brought to the attention of the Agency's top management level.

NOTE

The responsibilities assigned herein to Responsible Planning and Implementation Offices do not fully apply to the Directors of the National Environmental Research Centers nor the Western Environmental Research Laboratory. These officials will follow the procedures set forth in the Office of Research and Monitoring Program Planning System, in the development of their Proposed Program Plans. Briefly, these procedures provide for the development of a single Proposed Program Plan for all activities within the Office of Research and Monitoring by the Headquarters office (with participation by the above named RPIO's). Accordingly, these RPIO's will not develop and submit Proposed Program Plans as specified herein.

These Directors, however, will assume the implementation responsibilities assigned to RPIO's. They will receive their respective parts of the Approved Program Plan and will be issued allowances and position ceilings to enable them to carry out their part of the Plan. Following this, they will be responsible for implementing their part of the Plan, for managing the allowance and position ceiling issued to them (that is, serving as allowance holders) and for reporting on programmatic and fiscal performance and progress.

Generally, communications with the subject RPIO's will be carried out through the Office of the Assistant Administrator for Research and Monitoring.